



# California Emergency Management Agency

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## Emergency Management Performance Grant

### *Recipient Subgrant Guide for Local Governments* *Fiscal Year 2009*

February 11, 2009

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## Section One: Subgrant Overview

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### Contents

This section contains the following:

- Purpose of this Subgrant
  - Eligible Subgrant Recipients
  - Purpose of this Subgrant Guide
  - Performance Period
  - Matching Requirements
  - Allocations and Methodology
  - OA Responsibilities
  - Applicable Laws, Regulations, Guidance Documents and Websites
  - Subgrant Timelines
  - Contact Information
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## Section One: Subgrant Overview, continued

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**Purpose of this Subgrant** The purpose of the Fiscal Year 2009 Emergency Management Performance Grant (FY09 EMPG) is to support comprehensive emergency management at the state, tribal and local levels and to encourage the improvement of mitigation, preparedness, response, and recovery capabilities for all hazards. Funds provided under the EMPG must be used to support activities that contribute to the Operational Area's capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made.

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**Eligible Subgrant Recipients** The eligible grant recipients are the 58 Operational Areas (OAs).

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**Purpose of this Subgrant Guide** This *Recipient Subgrant Guide* will provide the OAs with guidance and forms to apply for, perform, and closeout the FY09 EMPG subgrant. This *Guide* specifies the performance period, allocations, eligible activities, and other subgrant related information and requirements.

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**Performance Period** The FY09 EMPG performance period is October 1, 2008 through June 30, 2010. However, each OA must choose a 12-month period within this time frame for their particular performance period. This would either be the federal fiscal year (October 1, 2008 through September 30, 2009) or the state fiscal year (July 1, 2009 to June 30, 2010).

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**Matching Requirements** The FY09 EMPG requires a dollar-for-dollar match. This can be cash or in-kind. Please refer to 44 Code of Federal Regulations (CFR), 13.24 for specific details.

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**Allocations and Methodology** California will subgrant a total of \$9,100,000 to OAs. The OA allocations were determined using a \$80,000 base award, with remaining funds distributed using per capita figures in the Department of Finance's yearly report called

***E-1: City/County Population Estimates with Annual Percent Change***

This report can be accessed at the following website:

<http://www.dof.ca.gov/HTML/DEMOGRAP/ReportsPapers/Estimates/E1/documents/E-1table.xls>

The data for January 1, 2008 were used for calculating allocations. A complete listing of the allocations for the FY09 EMPG can be found in Appendix A.

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## Section One: Subgrant Overview, continued

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### OA Responsibilities

The OAs responsibilities are to:

1. Submit a subgrant application package to CalEMA Regions by **March 27, 2009**.
  2. Comply with all assurances and certifications contained in the Grant Assurances submitted with the FY09 EMPG application. In addition, if the OA subgrants funds to other entities, their subgrant agreements/contracts must also include these same assurances and certifications along with any local requirements.
  3. Prepare performance reports for the duration of the performance period. Further reporting details are included in Part Four, Performance Period Activities, under “Performance Reports”.
  4. Maintain financial management systems that support subgrant activities in accordance with 44 CFR Part 13.20.
  5. If changes are required after the initial subgrant award, submit revision requests to CalEMA, prior to incurring any associated expenditures. Further details are included in Part Four, Performance Period Activities, under “Revision Requests”.
  6. Remit unexpended subgrant funds to CalEMA after all work has been completed and reimbursements have been disbursed.
  7. Maintain property, programmatic, and financial records in accordance with the grant record retention requirements. Further details on the retention requirement are contained in Part Four, Performance Period Activities, under “Record Retention Requirements”.
  8. Comply with the audit requirements contained in Office of Management and Budget (OMB) Circular A-133, and Title 44 CFR, Part 13.26.
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## Section One: Subgrant Overview, continued

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### Applicable Laws, Regulations, Guidance Documents and Websites

OAs must ensure that local and internal departments are aware of the following laws, regulations, and guidance documents that apply to this subgrant:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act as amended.
- Office of Management and Budget (OMB) Circulars A-87, A-102, A-133 <http://www.whitehouse.gov/omb/circulars/index.html>
- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code - Provides the legal basis for Emergency Management activities in California. Government Code Section 8607 describes the Standardized Emergency Management System.
- *Recipient Subgrant Guide for Local Governments* provided by CalEMA.

The following documents produced and distributed by CalEMA can be used as additional resources. They can be found on the CalEMA website at: [www.oes.ca.gov](http://www.oes.ca.gov).

- Local Emergency Planning Guidance
  - State Emergency Plan
  - SEMS/NIMS Regulations
  - Statewide Emergency Management Strategic Plan
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## Section One: Subgrant Overview, continued

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### Subgrant Timelines

<b>March 27, 2009</b>	Submit applications to the appropriate Regional Office.
<b>April 14, 2009</b>	Regional Offices will complete review of applications and forward to the Emergency Grants Administration Section to process.
<b>May 29, 2009</b>	OAs will be notified of application approval and award.
<b>July 17, 2009</b>	A performance report is due to the appropriate Regional Office for the period October 1, 2008 through June 30, 2009.
<b>October 16, 2009</b>	A performance report is due to the appropriate Regional Office for the period July 1, 2009 through September 30, 2009.
<b>January 15, 2010</b>	A performance report is due to the appropriate Regional Office for the period October 1, 2009 through December 31, 2009.
<b>April 16, 2010</b>	A performance report is due to the appropriate Regional Office for the period January 1, 2010 through March 31, 2010.
<b>June 30, 2010</b>	All subgrant activities must be completed and all funds disbursed.
<b>July 30, 2010</b>	<ul style="list-style-type: none"><li>• A final performance report is due to the appropriate Regional Office for the period of April 1, 2010 through June 30, 2010.</li><li>• A final Reimbursement Request is due to the appropriate Regional Office.</li></ul>

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### Contact Information

Technical assistance is available throughout the application and subgrant performance process. Contact your Regional Office at one of the following numbers:

Coastal Region (510) 286-0895  
Inland Region (916) 845-8470  
Southern Region (562) 795-2900

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## Section Two: Program Specific Information

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### Contents

This section contains the following:

- Program Overview
  - What's New?
  - Secretary's Emphasis
  - Goals and Objectives
  - Eligible Activities
    - Management and Administration
    - Planning
    - Organizational
    - Equipment
    - Training
    - Exercise
    - Construction and Renovation
  - Unallowable Costs
  - Eligible Costs
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## Section Two: Program Specific Information, continued

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<b>Program Overview</b>	<p>The purpose of the FY09 EMPG is to support comprehensive emergency management and to encourage the improvement of mitigation, preparedness, response, and recovery capabilities for all hazards. Funds provided under the EMPG must be used to support activities that contribute to the OA's capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made. Towards this end, CalEMA has established emergency management priorities, goals, and objectives for California. OA activities under this subgrant must be tied to these priorities, goals, and objectives.</p>
<b>What's New?</b>	<ul style="list-style-type: none"><li>• The funds can be used for EOC construction (up to \$1,000,000) or renovation (up to \$250,000).</li><li>• Local jurisdictions can use up to 3% for management and administration costs.</li></ul>
<b>Secretary's Emphasis</b>	<p>Listed below are the key areas the State will be focusing on in the FY 09 EMPG programs. OAs are strongly encouraged to focus on these activities as well.</p> <ul style="list-style-type: none"><li>• <b>Information Management Technology and Process:</b> OAs are encouraged to participate with CalEMA in a Feasibility Study Review to develop a new emergency information management system (technology and process).</li><li>• <b>Emergency Responder Credentialing Program:</b> Participation in a Regional EMMA exercise is strongly encouraged.</li><li>• <b>Alert &amp; Warning:</b> Counties should assess their ability to notify cities within their jurisdiction and, in turn, the cities' ability to notify their citizens, of imminent or actual emergencies where a warning would give sufficient additional time for action and increase safety.</li><li>• <b>Special Needs:</b> Evacuation and sheltering needs of the OA's special needs population should be addressed. OA's should recognize the need to identify, transport, and provide required medical or supportive care to people with physical, sensory, or cognitive, language, or economic limitations that must be evacuated or sheltered during a disaster.</li><li>• <b>Mass Evacuation:</b> OAs must evaluate their ability to move a large and demographically diverse group of people within a short time period to a safe location within their own county and/or an adjoining county. Under extreme catastrophic events, this distance may not be far enough to provide the expected level of protection. If necessary, plans should be developed or revised to address this issue.</li></ul>

## Section Two: Program Specific Information, continued

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### Secretary's Emphasis, continued

- **Care and Sheltering:** In the event of a mass evacuation, the need to temporarily feed, shelter, and provide basic hygienic and medical support becomes an issue that OAs will also have to address. Another consideration in this area will be the need to shelter-in-place and ensuring that the OA's population is prepared to remain in their homes and/or places of business for multiple days at a time.
- **Planning:** Review and revise the jurisdiction's Emergency Operations Plan in accordance with the schedule established in the plan, and submit the revised plan to CalEMA Regions at least every three years for their review according to published emergency plan criteria.
- **Exercises:** OAs should participate in disaster exercises that test the jurisdiction's emergency plan, emergency facilities and equipment; prepare After Action Reports identifying corrective actions; and take appropriate action to implement recommended corrective actions.
- **Regional Catastrophic Planning:** Where it is likely that a disastrous event could involve more than one OA, OAs should be expanding their catastrophic event planning to include their neighboring jurisdictions and federal, state, and private entities.
- **COOP and COG Planning:** OAs should review and revise their current plan as necessary.

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### Goals and Objectives

The goals and objectives of the state are described in Appendix B. The goals address three main categories:

1. Organizational and Enterprise Enhancement
  2. Manage Risks and Vulnerabilities
  3. Enhance Customer and Stakeholder Services
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## Section Two: Program Specific Information, continued

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### Eligible Activities

#### **MANAGEMENT AND ADMINISTRATIVE (M&A) COSTS**

M&A activities are those defined as directly relating to the management and administration of EMPG funds, such as financial management and monitoring. It should be noted that salaries of local emergency managers are not typically categorized as M&A, unless the OA chooses to assign personnel to specific M&A activities.

M&A costs are allowable for OAs. OAs may retain and use up to **3% of their subaward** from the State for OA M&A purposes.

M&A costs include the following categories of activities:

- Hiring of full-time or part-time staff or contractors/consultants:
  - o To assist with the management of FY 2009 EMPG funds
  - o To assist with design, requirements, and implementation of the FY 2009 EMPG Program
- Hiring of full-time or part-time staff or contractors/consultants and expenses related to:
  - o FY 2009 EMPG pre-application submission management activities and application requirements
  - o Meeting compliance with reporting/data collection requirements, including data calls
- Development of operating plans for information collection and processing necessary to respond to FEMA data calls
- Travel expenses directly related to management and administration of EMPG grant funds
- Meeting-related expenses directly related to management and administration of EMPG grant funds
- Acquisition of authorized office equipment, including personal computers, laptop computers, printers, LCD projectors, and other equipment or software which are used primarily in support the implementation of EMPG-related activities
- The following are allowable only within the period of performance of the grant program:
  - o Recurring fees/charges associated with certain equipment, such as cell phones, faxes, etc. which are directly related to management and administration of FY 2009 EMPG grant funds
  - o Leasing and/or renting of space for newly hired personnel to administer FY 2009 EMPG grant funds

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **PLANNING**

FY 2009 EMPG funds may be used for a range of emergency management planning activities, including activities and costs related to the FEMA Gap Analysis Program and EMAP accreditation process (State and/or local). As indicated, subgrant recipients should place a high priority on developing/enhancing scenario specific plans that incorporate activities across the pillars of prevention, protection, and response and recovery. These plans may include aspects of the following, but are not limited to:

- Disaster housing planning
- Planning for NIMS implementation
- Modifying existing incident management and emergency operations plans to ensure proper alignment with the NIMS and NRF coordinating structures, processes, and protocols
- Developing/enhancing comprehensive emergency management plans
- Conducting a hazard analysis and risk assessment prior to mitigation plan development
- Developing/enhancing all-hazards mitigation plans
- Developing/enhancing catastrophic incident plans
- Developing/enhancing COOP/COG plans
- Developing/enhancing logistics and resource management plans
- Developing/enhancing evacuation plans, including alerts/warning, crisis communications, sheltering, and re-entry
- Developing/enhancing mass casualty and mass fatality plans
- Developing/enhancing financial and administrative procedures for use before, during, and after disaster events in support of a comprehensive emergency management program
- Public education and awareness
- Developing/enhancing other response and recovery plans
- Developing/enhancing emergency management and operations plans to integrate citizen/volunteer and other non-governmental organization resources and participation

In support of efforts by OAs to improve their preparedness programs, program evaluations are now allowable planning costs. Program evaluations provide valuable information regarding a program's outcomes, efficiency, and effectiveness. Beyond financial audits and program monitoring, evaluations can help managers track progress and demonstrate performance by quantitatively measuring the results of programs.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **ORGANIZATION**

Per the *Robert T. Stafford Disaster Relief and Emergency Assistance Act*, (Public Law 93-288), as amended, 42 U.S.C. 5121-5207, EMPG funds may be used for all-hazards emergency management operations, staffing, and other day-to-day activities in support of emergency management.

Personnel costs, including salary, overtime, compensatory time off, and associated fringe benefits, are allowable costs with FY 2009 EMPG funds. These costs must comply with 2 CFR Part 225, *Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)*. Proposed personnel costs should be linked to achieving objectives outlined in your Program Narrative.

#### **EQUIPMENT**

Allowable equipment categories for FY 2009 EMPG are listed on the web-based version of the Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), which is sponsored by FEMA at <http://www.rkb.us>.

The Standardized Equipment List (SEL) is located at this site as well. In some cases, items on the SEL are not allowable under EMPG or will not be eligible for purchase unless specific conditions are met. Unless otherwise stated, equipment must meet all mandatory regulatory and/or FEMA-adopted standards to be eligible for purchase using these funds. In addition, agencies will be responsible for obtaining and maintaining all necessary certifications and licenses for the requested equipment.

The select allowable equipment includes equipment from the following AEL categories:

- Information Technology (Category 4)
  - Cyber-Security Enhancement Equipment (Category 5)
  - Interoperable Communications Equipment (Category 6)
  - Detection Equipment (Category 7)
  - Power Equipment (Category 10)
  - CBRNE Reference Materials (Category 11)
  - CBRNE Incident Response Vehicles (Category 12)
  - Physical Security Enhancement Equipment (Category 14)
  - CBRNE Logistical Support Equipment (Category 19)
  - Other Authorized Equipment (Category 21)
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## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **TRAINING**

EMPG funds may be used for a range of emergency management-related training activities to enhance the capabilities of State and local emergency management personnel through the establishment, support, conduct, and attendance of training. Types of training include, but are not limited to, the following:

- Developing/enhancing systems to monitor training programs
- Conducting all hazards emergency management training, including NIMS training requirements
- Attending Emergency Management Institute (EMI) training or delivering EMI train-the-trainer courses, not limited to terrorism-related courses
- Attending other FEMA-approved emergency management training

Allowable training-related costs include the following:

- **Funds used to develop, deliver, and evaluate training** – Includes costs related to administering the training: planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.
- **Overtime and Backfill** – Overtime costs which are the direct result of attendance at FEMA and/or approved training courses and programs are allowable. Overtime payments related to backfilling personnel who have been sent to training are also allowable, but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities.
- **Travel** – Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to approved training.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full- or part-time staff may be hired to support direct training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or awarding agency, whichever is applicable.
- **Certification/Recertification of Instructors** – Costs associated with the certification and re-certification of instructors are allowed. OAs are encouraged to follow the FEMA Instructor Quality Assurance Program to ensure a minimum level of competency and corresponding levels of evaluation of student learning. This is particularly important for those courses which involve training of trainers.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **EXERCISES**

EMPG funds may be used to design, develop, conduct, and evaluate emergency management related exercises. Exercises must be consistent with the principles outlined in the Homeland Security Exercise and Evaluation Program (HSEEP), as well as applicable existing emergency management standards. *HSEEP Volumes I-III* contains guidance and recommendations for designing, developing, conducting, and evaluating exercises. *HSEEP Volume IV* provides sample exercise materials. All four volumes can be found at the HSEEP website <http://hseep.dhs.gov>). Exercises conducted using EMPG funding must be NIMS compliant. Types of exercises include, but are not limited to, the following:

- Developing/enhancing systems to monitor exercise programs
- Conducting all-hazards exercises, based on the likely hazards/scenarios a jurisdiction may encounter
- Conducting emergency management exercises, while incorporating NIMS exercise requirements

Allowable exercise-related costs include:

- **Funds Used to Design, Develop, Conduct and Evaluate an Exercise** – Includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.
- **Hiring of Full or Part-Time Staff or Contractors/Consultants** – Full- or part-time staff may be hired to support direct exercise activities. Payment of salaries and fringe benefits must be in accordance with the policies of the State or unit(s) of local government and have the approval of the State or the awarding agency, whichever is applicable. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises. The applicant's formal written procurement policy or the Federal Acquisition Regulations (FAR) must be followed.
- **Overtime and Backfill** – Overtime costs which are the direct result of time spent on the design, development and conduct of exercises are allowable expenses. Overtime payments related to backfilling personnel who have been sent to exercises are also allowable but only for the marginal added cost to the grantee of having to pay overtime instead of regular time. The grantee must maintain financial responsibility for the regular time portion of backfill costs. These costs are allowed only to the extent the payment for such services is in accordance with the policies of the State or unit(s) of local government and has the approval of the State or the awarding agency, whichever is applicable. In no case is dual compensation allowable. That is, an employee of a unit of government may not receive compensation from their unit or agency of government AND from an award for a single period of time (e.g., 1:00 pm to 5:00 pm), even though such work may benefit both activities.

## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **EXERCISES**, continued

- **Travel** – Travel costs (e.g., airfare, mileage, per diem, hotel) are allowable as expenses by employees who are on travel status for official business related to the planning and conduct of the exercise project(s).
- **Supplies** – Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, gloves, tape, non-sterile masks, and disposable protective equipment).
- **Implementation of HSEEP** – This refers to costs related to developing and maintaining a self-sustaining State Homeland Security Exercise and Evaluation Program which is modeled after the national HSEEP.
- **Other Items** – These costs are limited to items consumed in direct support of exercise activities such as the rental of space/locations for planning and conducting an exercise, rental of equipment (e.g., portable toilets, tents), and the procurement of gasoline, exercise signs, badges, and other essential nondurable goods. The only vehicle costs that are reimbursable are fuel/gasoline or mileage.

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances).
  - Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging signs).
  - Durable and non-durable goods purchased for installation and/or use beyond the scope of exercise conduct.
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## Section Two: Program Specific Information, continued

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### Eligible Activities, continued

#### **CONSTRUCTION AND RENOVATION**

FEMA recognizes that an updated, functioning emergency operations center (EOC), accessible to and usable by individuals with disabilities, is a core component of an effective emergency management system. Therefore, construction and renovation activities for a State, local, or tribal government's principal EOC are allowable under EMPG. Allowable costs for EOC construction and renovation are consistent with the FY 2009 EOC Grant Program. In addition, EOCs may use up to \$1,000,000 for construction projects or up to \$250,000 for renovation projects. However, the match requirement for EOC construction and renovation with EMPG funding is 50 percent federal and 50 percent grantee.

FY 2009 EMGP subgrant recipients using funds for construction projects must comply with the Davis-Bacon Act. Subgrant recipients must ensure that their contractors or subcontractors for construction projects pay workers employed directly at the worksite no less than the prevailing wages and fringe benefits paid on projects of a similar character. Additional information, including Department of Labor wage determinations, is available from the following website: <http://www.dol.gov/esa/programs/dbra/>.

In order for subgrant recipients to drawdown funds for limited EOC construction and renovation projects under EMPG:

- Subgrantee recipients must provide to CalEMA the following:
  - o A description of the EOC facility, location, and the scope of the construction or renovation project
  - o A certification that an assessment has been conducted to identify EOC needs regarding such issues as the facility, communications capability, computer systems and network capabilities, survivability, and sustainability
  - o A description of how the construction or renovation project will address the needs identified from the assessment
  - o A consequences of not implementing the construction or renovation project
  - o A NEPA Compliance Checklist
- Written approval must be obtained by CalEMA from FEMA prior to the use of any EMPG funds for construction or renovation

All proposed construction and renovation activities must undergo an Environmental and Historic Preservation (EHP) review, including approval of the review from FEMA, prior to undertaking any action related to the project. Any applicant that is proposing a construction project under the FY 2009 EMGP should pay special attention to the EHP requirements contained in Part VI (B, 4.7) of the Guidance. Failure of a grant recipient to meet these requirements may jeopardize Federal funding.

## Section Two: Program Specific Information, continued

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### Other Unallowable Costs

#### UNALLOWABLE COSTS

- Expenditures for items such as general-use software (word processing, spreadsheet, graphics, etc), general-use computers and related equipment (other than for allowable M&A activities, or otherwise associated preparedness or response functions), general-use vehicles, licensing fees, weapons systems and ammunition.
  - Personnel costs (except for costs as detailed above). Costs to support the hiring of sworn public safety officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.
  - Activities unrelated to the completion and implementation of the EMPG.
  - Other items not in accordance with the portions of the AEL and allowable cost listed in “Eligible Activities” section.
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## Section Two: Program Specific Information, continued

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**Eligible Costs** To be allowable under federal awards, costs must meet the criteria as stated in OMB Circular No. A-87, Attachment A.

Eligible cost categories are as follows:

Personnel Services	This includes salary, overtime, compensating time off and associated fringe benefits.
Equipment	This is defined as property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Allowable equipment categories for FY 2009 EMPG are listed on the web-based Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB), at <a href="http://www.rkb.mipt.org">http://www.rkb.mipt.org</a> . The FY 2009 EMPG AEL is housed on the RKB and relies heavily on the Standardized Equipment List (SEL) developed by the Inter-Agency Board (IAB) for Equipment Standardization and Interoperability. The AEL maintains the cross-referencing to the SEL in an effort to eliminate redundancy. Both the AEL and SEL are available on the RKB, which also offers an interactive version that provides links to corresponding SEL items and commercial products.
Operating expenses	This includes all items not defined as equipment such as printing, postage, communications, data processing, etc.
Management and Administration costs	Costs associated with the management and administration of this grant. This would include costs of such activities as preparing reports, reimbursement requests, and recordkeeping. Specific documentation of these costs must be maintained.
Pass through to locals	This includes the funds being passed through to cities and/or other political entities.

Another useful Financial Guide for determining eligible costs can be found at: [http://www.dhs.gov/xlibrary/assets/Grants\\_FinancialManagementGuide.pdf](http://www.dhs.gov/xlibrary/assets/Grants_FinancialManagementGuide.pdf)

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## Section Three: Application Requirements and Process

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### Contents

This section contains the following:

- Application Components
  - Mailing Address
  - Application for Assistance
  - Program Narrative
  - Budget Worksheet
  - Governing Body Resolution
  - Grant Assurances
  - Application Due Date
  - Approval of Application
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## Section Three: Application Requirements and Process, continued

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**Application Components** The application must include the following forms. These forms can be found in Appendix C.

- Application for Assistance
  - Program Narrative
  - Budget Worksheet
  - Governing Body Resolution
  - Grant Assurances
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**Mailing Address** The application must be mailed to your CalEMA Regional office:

Coastal Region 1300 Clay Street, Suite 400 Oakland, CA 94612	Inland Region 3650 Schriever Avenue Mather, CA 95655	Southern Region 4671 Liberty Avenue Los Alamitos, CA 90720
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**Application for Assistance** The Application for Assistance form is the coversheet for the application. It identifies the applicant, the authorized agent and contact person for the subgrant and their addresses, the maximum award amount and the amount the OA is requesting. It must be signed by the authorized agent of the Operational Area. After review and approval by CalEMA, this document serves as the contractual basis for the award of funds.

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**Program Narrative** The Program Narrative must include the following:

- Program activities to be accomplished.
- Tasks required to complete the activity.
- Associated goal(s) and objective(s) (from Appendix B) for each activity.

The Program Narrative information forms the basis for the performance reports. The OAs will be expected to report progress on each task identified.

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**Budget Worksheet** The following expenses need to be itemized if you are going to expend funds in these areas:

- Personal Services
  - Operating Expenses
  - Equipment
  - Management and Administration (M&A)
  - Pass through to locals
-

### Section Three: Application Requirements and Process, continued

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<b>Governing Body Resolution</b>	The Governing Body Resolution appoints agents authorized to execute any actions necessary under this subgrant. The OAs are not required to create a new Governing Body Resolution with the FY09 EMPG application if the one on file with CalEMA is current, however, a copy of your resolution needs to be filed with your application.
<b>Grant Assurances</b>	The Grant Assurances form lists the requirements to which the OA will be held accountable. OAs are required to file a new Grant Assurances form with the FY09 EMPG application.
<b>Application Due Date</b>	The application package must be submitted to CalEMA by March 27, 2009.
<b>Approval of Application</b>	CalEMA will notify the OA, in writing, of the approved application, award amount, and performance period.

## Section Four: Performance Period Activities

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### Contents

This section contains the following:

- Reimbursement of Eligible Costs
  - Revision Requests
  - Performance Report
  - Interest Earnings
  - Monitoring Subgrant Performance
  - Record Retention Requirements
  - Accessibility of Records
  - Suspension or Termination
-

## Section Four: Performance Period Activities, continued

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**Reimbursement of Eligible Costs** The FY09 EMPG funds will be disbursed on a reimbursement basis, using the Reimbursement Request form included in Appendix C. The cost of employee labor and expenses has been incurred as soon as the time has been worked or the expense has been paid. Vendor costs have been incurred when the purchasing jurisdiction has paid the vendor's invoice. Encumbrances, purchase orders or signed contracts do not qualify as incurred costs.

The OAs are strongly encouraged to submit reimbursement requests on a quarterly basis; but, are allowed to submit reimbursement requests monthly.

**NOTE:** Payments can only be made if the OA has an:

- Approved Application
- Valid Governing Body Resolution
- Valid Grant Assurance

It is recommended copies of all documents adding up to the total of each reimbursement request be kept with your files to make verification by monitors and/or auditors easier.

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**Revision Requests** All changes to the OAs approved Program Narrative and Budget Worksheet must be submitted to CalEMA in writing and approved ***prior*** to initiating any revised scope of work or incurring the associated expenditures. The OAs may submit revision requests to CalEMA at any time during the performance period.

Failure to submit revision requests and receive approval prior to expenditure could result in a reduction or disallowance of that part of the subgrant.

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**Performance Report** The OAs must submit performance reports as required. The report must include the progress made on identified activities, as well as other requested information and data.

The last performance report is due to CalEMA by July 31, 2010 (unless extended), and will serve as the final subgrant report.

Failure to submit a performance report could result in subgrant reduction, termination or suspension.

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## Section Four: Performance Period Activities, continued

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### **Interest Earnings**

In accordance with Title 44, Code of Federal Regulations, Part 13.21, any interest earned, in excess of \$100 per federal fiscal year, must be remitted quarterly to:

United States Department of Health and Human Services  
Division of Payment Management Services  
Post Office Box 6021  
Rockville, MD 20852

NOTE: The transmittal letter included with the check should indicate that the OA is returning interest earned on FY09 EMPG funds.

A copy of the transmittal letter should be sent to your Regional office at:

Coastal Region  
1300 Clay Street, Suite 400  
Oakland, CA 94612

Inland Region  
3650 Schriever Avenue  
Mather, CA 95655

Southern Region  
4671 Liberty Avenue  
Los Alamitos, CA 90720

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### **Monitoring Subgrant Performance**

The state may perform periodic reviews of the OAs subgrant performance. These reviews may include, but are not limited to:

- Comparing actual subgrant activities to those approved on the Program Narrative and Budget Worksheet.
  - Confirming compliance with:
    - Grant Assurances.
    - Information provided on the performance reports.
  - Reviewing and monitoring financial and administrative records.
- 

### **Record Retention Requirements**

Specific requirements for record retention can be found in Title 44, CFR, Part 13.42.

In the Subgrant Closeout letter, CalEMA will notify the OA of the start of the record retention period for programmatic and financial records.

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### **Accessibility of Records**

The federal Department of Homeland Security, the DHS Office of Inspector General, the Comptroller General of the United States, CalEMA, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the subgrant, in order to make audits, monitoring review, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 44 CFR 13.42 for more information about accessibility of records.

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## Section Four: Performance Period Activities, continued

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**Suspension  
or  
Termination**

Should a jurisdiction materially fail to comply with any term of an award, whether stated in a Federal statute or regulation, an assurance, in a state plan or application, a notice of award, or elsewhere, CalEMA may take one or more of the following actions:

- Temporarily withhold cash reimbursements pending correction of the deficiency by the jurisdiction;
- Disallow all or part of the cost of the activity or action not in compliance;
- Wholly or partly suspend or terminate the current award for the jurisdiction's program;
- Withhold further awards for the program; or
- Take other remedies that may be legally available.

Before taking action, the state will provide the jurisdiction reasonable notice of intent to impose measures and will make efforts to resolve the problem informally. For more details on enforcement, see 44 CFR Part 13.43.

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## Section Five: Subgrant Closeout

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### Contents

This section contains the following:

- Final Subgrant Report
  - Closeout Review and Notification
  - Audit Requirements
-

## Section Five: Subgrant Closeout, continued

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<b>Final Subgrant Report</b>	The performance report due to CalEMA by July 31, 2010 (unless extended) will serve as the final subgrant report (see timeline on page 8).
<b>Closeout Review and Notification</b>	CalEMA will review the OA's Final Performance Report for compliance with all subgrant conditions. After compliance has been verified, CalEMA will notify the OA, in writing, of the subgrant closure and record retention requirements.
<b>Audit Requirements</b>	The OAs, and their sub-recipients, must comply with the audit requirements contained in OMB Circular A-133 and Title 44, CFR, Part 13.26.

## Appendices

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<b>List of Appendices</b>	A: Allocations to Operational Areas
	B: CalEMA Goals and Objectives
	C: Forms
	D: Sample Forms
	E: Acronyms

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## Appendix A: Allocations to Operational Areas

FY 09 EMPG Allocations					
Operational Area	Population	Base	Per Capita	Total Allocation	
ALAMEDA	1,526,148	\$80,000	\$180,727	\$260,727	
ALPINE	1,261	\$80,000	\$149	\$80,149	
AMADOR	38,435	\$80,000	\$4,551	\$84,551	
BUTTE	218,069	\$80,000	\$25,824	\$105,824	
CALAVERAS	46,028	\$80,000	\$5,451	\$85,451	
COLUSA	21,951	\$80,000	\$2,599	\$82,599	
CONTRA COSTA	1,042,341	\$80,000	\$123,434	\$203,434	
DEL NORTE	29,341	\$80,000	\$3,475	\$83,475	
EL DORADO	178,674	\$80,000	\$21,159	\$101,159	
FRESNO	917,515	\$80,000	\$108,652	\$188,652	
GLENN	28,915	\$80,000	\$3,424	\$83,424	
HUMBOLDT	131,959	\$80,000	\$15,627	\$95,627	
IMPERIAL	172,672	\$80,000	\$20,448	\$100,448	
INYO	18,383	\$80,000	\$2,177	\$82,177	
KERN	801,648	\$80,000	\$94,931	\$174,931	
KINGS	151,381	\$80,000	\$17,927	\$97,927	
LAKE	64,276	\$80,000	\$7,612	\$87,612	
LASSEN	36,375	\$80,000	\$4,308	\$84,308	
LOS ANGELES	10,331,939	\$80,000	\$1,223,508	\$1,303,508	
MADERA	148,721	\$80,000	\$17,612	\$97,612	
MARIN	255,982	\$80,000	\$30,313	\$110,313	
MARIPOSA	18,254	\$80,000	\$2,162	\$82,162	
MENDOCINO	90,291	\$80,000	\$10,692	\$90,692	
MERCED	251,510	\$80,000	\$29,784	\$109,784	
MODOC	9,721	\$80,000	\$1,151	\$81,151	
MONO	13,985	\$80,000	\$1,656	\$81,656	
MONTEREY	425,960	\$80,000	\$50,442	\$130,442	
NAPA	135,969	\$80,000	\$16,101	\$96,101	
NEVADA	99,766	\$80,000	\$11,814	\$91,814	
ORANGE	3,098,121	\$80,000	\$366,880	\$446,880	
PLACER	324,495	\$80,000	\$38,427	\$118,427	
PLUMAS	21,128	\$80,000	\$2,502	\$82,502	
RIVERSIDE	2,031,625	\$80,000	\$240,585	\$320,585	
SACRAMENTO	1,406,804	\$80,000	\$166,594	\$246,594	
SAN BENITO	57,803	\$80,000	\$6,845	\$86,845	
SAN BERNARDINO	2,028,013	\$80,000	\$240,158	\$320,158	
SAN DIEGO	3,098,269	\$80,000	\$366,897	\$446,897	
SAN FRANCISCO	808,844	\$80,000	\$95,783	\$175,783	
SAN JOAQUIN	679,687	\$80,000	\$80,489	\$160,489	
SAN LUIS OBISPO	264,900	\$80,000	\$31,369	\$111,369	
SAN MATEO	733,496	\$80,000	\$86,861	\$166,861	
SANTA BARBARA	424,425	\$80,000	\$50,260	\$130,260	
SANTA CLARA	1,808,056	\$80,000	\$214,110	\$294,110	
SANTA CRUZ	264,125	\$80,000	\$31,278	\$111,278	
SHASTA	181,401	\$80,000	\$21,482	\$101,482	
SIERRA	3,485	\$80,000	\$413	\$80,413	
SISKIYOU	45,953	\$80,000	\$5,442	\$85,442	
SOLANO	424,823	\$80,000	\$50,308	\$130,308	
SONOMA	481,765	\$80,000	\$57,051	\$137,051	
STANISLAUS	521,497	\$80,000	\$61,756	\$141,756	
SUTTER	93,919	\$80,000	\$11,122	\$91,122	
TEHAMA	61,774	\$80,000	\$7,315	\$87,315	
TRINITY	14,171	\$80,000	\$1,678	\$81,678	
TULARE	429,006	\$80,000	\$50,803	\$130,803	
TUOLUMNE	57,223	\$80,000	\$6,776	\$86,776	
VENTURA	825,512	\$80,000	\$97,757	\$177,757	
YOLO	193,983	\$80,000	\$22,971	\$102,971	
YUBA	70,745	\$80,000	\$8,378	\$88,378	
<b>TOTALS</b>	<b>37,662,518</b>	<b>\$4,640,000</b>	<b>\$4,460,000</b>	<b>\$9,100,000</b>	

## Appendix B: CalEMA Goals and Objectives

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<b>Goal 1</b>	<b>Organizational and Enterprise Enhancement</b> <i>Lead the implementation of a strong foundation for emergency management and criminal justice that transforms services making them customer focused, strategic, efficient, and cost effective. This will be accomplished by clear direction, communication, and support.</i>
<b>Objectives</b>	<p><b>Objective 1.4: Promote Continuous Improvement</b> Implement after action report recommendations, lessons learned, and oversight committee recommendations. Utilize the lessons learned from previous exercises, emergencies, disasters, and oversight reports to develop strategies to improve operational effectiveness.</p> <p><b>Objective 1.6: Ensure Continuity of Operations Planning</b> Ensure support for Continuity of Operations (COOP) to ensure essential services are carried out in the event of a business disruption. Routinely review and revise plans and procedures; provide training to staff; conduct exercises; identify lessons learned; and implement corrective actions.</p> <p><b>Objective 1.9: Support and Train Personnel for the Needs of Operational Demands.</b> Provide core competency support and ensure staff is well trained, their professional growth is fostered, and have the support/tools they need to complete their work.</p> <p><b>Objective 1.10 Improve Internal Training Programs</b> Implement a competency-based training program that provides essential and comprehensive training in a timely and user-friendly manner to all staff. Develop training and educational offerings based on the skills and competencies required to achieve our mission, goals, and objectives. Implement Individual Training and Development Plans to foster personal and professional development and monitor training achievement.</p>

## Appendix B: CalEMA Goals and Objectives

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<b>Goal 2</b>	<b>Manage Risks and Vulnerabilities</b> <i>Enhance CalEMA's capacity to manage risks and vulnerabilities by integrating and improving technology to gain greater efficiencies and provide for faster and more reliable information and analysis; shifting operational and program focus to the regions; ensuring that emergency information gathering capabilities are improved to meet the current demand to provide near instantaneous information on a 24/7 basis; and maximizing disaster relief to individuals and communities. Promote a safe and resilient California by providing for an integrated hazard mitigation system.</i>
<b>Objectives</b>	<p><b>Objective 2.1: Enhance Communications Capabilities</b> Explore, develop, and enhance our Internet/Intranet capabilities to support core technology functions, meet our strategic Planning initiatives, and improve service to our partners, customers, and internal and external end-users.</p> <p><b>Objective 2.2: Improve Automated Risk Management Tools</b> Improve the utilization of technologies to create user-friendly hazard identification and risk management products that allow the State and local communities to conduct risk assessments and develop optimal risk management and hazard mitigation strategies.</p> <p><b>Objective 2.3: Establish Statewide Interoperability Standards and System Viability</b> Collaborate with federal, state, and local governmental, nongovernmental, and private sector partners to develop statewide standards for the uninterrupted flow of critical incident command and response management information.</p> <p><b>Objective 2.4: Achieve Communications Operability and Interoperability</b> Achieve communications operability for all stakeholders that support interoperability and communication systems governance statewide.</p> <p><b>Objective 2.5: Enhance System Redundancy</b> Enhance communications system redundancy for interoperability.</p> <p><b>Objective 2.6: Continually Reduce Risks through Partnerships</b> Work with our partners to develop and implement a comprehensive statewide risk and hazard reduction effort based on state and local integrated planning efforts for emergency management, public safety, land use, and hazard mitigation; the unique characteristics of communities throughout the state; and through a commitment to follow through with planned actions.</p>



## Appendix B: CalEMA Goals and Objectives

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<b>Objectives, continued</b>	<p><b>Objective 2.8: Build State’s Alert and Warning Capacities</b> Enhance the State’s capabilities to detect, assess, and disseminate information about threats, emergencies, and disasters to provide better coordination and integration of alert and warnings among public safety agencies and communications providers through all available mechanisms.</p> <p><b>Objective 2.9: Implement Alert and Warning Evaluation Processes</b> Document the State’s early warning procedures. Conduct regular statewide and regional tests and exercises to evaluate the ability to quickly alert and warn the public and response agencies at the federal, state and local levels of potential hazards.</p> <p><b>Objective 2.10: Foster Greater Awareness and Preparation</b> Support local efforts in emergency planning. Integrate the needs of vulnerable populations in emergency planning. Support community-based organizations (CBOs), non-governmental organizations (NGOs), and volunteer efforts. Develop guidance material and support training and exercises.</p> <p><b>Objective 2.12: Integrate Critical Federal Initiatives</b> Promote National Incident Management System (NIMS) and National Response Framework (NRF) compliance. Administer SEMS/NIMS integration. Promote catastrophic planning with the Federal Emergency Management Agency (FEMA). Maximize federal resources through planning and coordination. Align grant management processes.</p> <p><b>Objective 2.13: Promote Technical Resources in Emergency Management</b> Integrate technical capabilities in all elements of emergency management. Promote coordination and collaboration with internal and external technical experts.</p> <p><b>Objective 2.14 Training and Exercises</b> Enhance and maintain emergency management capabilities through training and exercise activities.</p>
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## Appendix B: CalEMA Goals and Objectives

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<b>Objectives, continued</b>	<p><b>Objective 2.15 Coordinate Training and Exercise Activities Through all Levels of Government: Federal, State, Tribal and Local.</b> Maintain Exercise Training Officer authority in the implementation of the Statewide Exercise Program. Maintain State Training Officer authority in review, approval, and deployment of emergency management/all-hazards training.</p> <p><b>Objective 2.17: Comprehensive Hazard Mitigation Planning</b> Coordinate CalEMA hazard mitigation planning and grant management priorities with the mitigation efforts of other federal, state and local jurisdictions to incorporate the direction of our partners.</p> <p><b>Objective 2.20: Strengthen our Mutual Aid Systems</b> Strengthen regional capabilities in support of the Mutual Aid System statewide beyond traditional means such as Law Enforcement and Fire, to include other programs [i.e., Emergency Management Assistance (EMA) and Public Health].</p> <p><b>Objective 2.21: Maintain and Enhance Duty Officer Program</b> Maintain a 24-7 Duty Officer system that: 1) ensures rapid dissemination and verification of local and state alerts and warnings; 2) gathers and analyzes information on local incidents to determine if there are emergency management consequences; 3) and responds to requests for state and/or mutual aid assistance at the Regional level.</p> <p><b>Objective 2.22: Equip Essential Facilities</b> Ensure that essential emergency facilities, such as the State Operation Center and Regional Emergency Operations Centers, are prepared with modern equipment, up-to-date technologies and staff to support emergency operations.</p>
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## Appendix B: CalEMA Goals and Objectives

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<b>Objectives, continued</b>	<p><b>Objective 2.23: Enhance Incident Support</b> Increase the ability to respond to locations as directed, to coordinate and provide technical support for response and recovery activities of federal, state, and local governments and disaster relief organizations.</p> <p><b>Objective 2.24: Expand Operational Readiness</b> Develop staffing plans for appropriate resources during operational events. Identify “core” business practices that must be maintained during an emergency deployment and the staffing levels necessary to meet these needs. Develop policies and procedures for shifting workloads for staff during deployment and upon return. Finalize the implementation and rollout of the Operational Readiness Team to facilitate efficient deployment of staff during emergencies and disasters.</p> <p><b>Objective 2.25: Enhance Statewide Recovery Operations Planning</b> Develop a statewide disaster recovery plan. Encourage long term recovery planning at the local level. Enhance catastrophic disaster planning efforts. Foster public/private partnerships for recovery.</p>
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<b>Goal 3</b>	<p><b>Enhance Customer and Stakeholder Services</b> <i>Enhance customer and stakeholder services by improving service delivery to meet or exceed service expectations and improving fiscal and grants management processes to ensure accountability and provide customer service excellence to recipients.</i></p>
<b>Objectives</b>	<p><b>Objective 3.1: Reengineer Grant Management Processes</b> Identify challenges in the current grant management processes and recommend solutions for improvement. Develop operational performance standards to track grant processing. Establish grant protocols to monitor payments to partners.</p>

## Appendix B: CalEMA Goals and Objectives

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<b>Objectives, continued</b>	<p><b>Objective 3.3: Increase Stakeholder Satisfaction</b> Increase stakeholders' satisfaction with the information quality and service delivery.</p> <p><b>Objective 3.4: Enhance Information-sharing Capacity</b> Enhance capacity to share and disseminate information and programmatic guidance to all stakeholders, customers and emergency networks.</p> <p><b>Objective 3.6: Public Private Partnerships</b> Participate and provide technical assistance to public and private agencies and organizations that are potential partners in communitywide emergency response, including non-government organizations, private non-profit organizations, business and industry groups.</p> <p><b>Objective 3.9: Training and Exercises</b> Assess needs, develop, and implement training and exercises to Federal, State, local government, non-governmental organizations, tribal nations and private industry stakeholders.</p>
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## Appendix C: Forms

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### Forms

The forms required for this subgrant include the following:

- Application for Assistance
  - Program Narrative
  - Budget Worksheet
  - Governing Body Resolution
  - Grant Assurances
  - Performance Report
  - Reimbursement Request
  - Final Performance Report
-

(County)

### Contact Information:

*Authorized Agent Mailing Address*

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*Name/Title*

City, State, Zip Code

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*Area Code/Office Telephone Number*

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*E-Mail Address*

Allocated Amount (from Appendix A) \$

**Amount Requested per Budget Worksheet** \$ \_\_\_\_\_

**Application Checklist** – The following items must be included with this subgrant application package:

Application for Assistance

                     Governing Body Resolution

Program Narrative

\_\_\_\_\_ Grant Assurances

\_\_\_\_\_ Budget Worksheet

### Certification and Signature of Authorized Agent

*I hereby certify I am vested with the authority, and have the approval of the Operational Area, to enter into this subgrant award agreement; and all funds received pursuant to this agreement will be spent exclusively on the purposes specified. The grant recipient signifies acceptance of this grant award and agrees to administer the subgrant in accordance with the laws, regulations, guidance documents that apply to this grant program; the CalEMA Recipient Subgrant Guide for Local Governments; and the CalEMA audit requirements.*

*Signature of Authorized Agent*

Printed Name

Title

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Date

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Application Reviewed/Subgrant Award Approved: \_\_\_\_\_  
Agency Secretary's Signature Date

Subgrant Performance Period: \_\_\_\_\_ to \_\_\_\_\_

OES ID # -00000

CFDA # 97.042

Award #

# PROGRAM NARRATIVE

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Overview:

GOAL/ OBJECTIVE	ACTIVITY	TASK(S) TO BE COMPLETED

## BUDGET WORKSHEET

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Double click on the chart below to open it as an Excel spreadsheet

Personal Services	
Operating Expenses	
Equipment	
Management and Admin.	
Pass thru to locals	
TOTAL	\$ -



## ***Governing Body Resolution***

*BE IT RESOLVED BY THE* \_\_\_\_\_  
(Governing Body)

*OF THE* \_\_\_\_\_ *THAT*  
(Name of Applicant)

\_\_\_\_\_  
(Name or Title of Authorized Agent) OR

\_\_\_\_\_  
(Name or Title of Authorized Agent) OR

\_\_\_\_\_,  
(Name or Title of Authorized Agent)

is hereby authorized to execute for and on behalf of the named applicant, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subgranted through the State of California.

Passed and approved this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

### ***Certification***

I, \_\_\_\_\_, duly appointed and  
(Name)

\_\_\_\_\_  
(Title) of the \_\_\_\_\_  
(Governing Body)

do hereby certify that the above is a true and correct copy of a resolution passed and approved by  
the \_\_\_\_\_ of the \_\_\_\_\_ on the  
(Governing body) (Name of Applicant)

\_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

\_\_\_\_\_  
(Official Position)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

# Instruction Sheet for the Governing Body Resolution

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## Purpose

The purpose of the Governing Body Resolution is to appoint individuals to act on behalf of the governing body and the OA.

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## Authorized Agent(s)

The Governing Body Resolution allows for the appointment of individuals or positions. **For each person or position appointed by the governing body, submit the following information, with the resolution, to CalEMA on the applicant's letterhead:**

- |  |   |
|--|---|
| <input type="checkbox"/> Jurisdiction  | <input type="checkbox"/> Telephone      |
| <input type="checkbox"/> Grant Program | <input type="checkbox"/> Fax #          |
| <input type="checkbox"/> Name          | <input type="checkbox"/> Cell Phone #   |
| <input type="checkbox"/> Title         | <input type="checkbox"/> E-Mail Address |
| <input type="checkbox"/> Address       |   |
| <input type="checkbox"/> City          |   |
| <input type="checkbox"/> Zip Code      |   |
- 

## Authorized Agent Changes

- If the Governing Body Resolution identified Authorized Agents by position and/or title, changes can be made by submitting new Authorized Agent information to CalEMA, as indicated above.
  - If the Governing Body Resolution identified Authorized Agents by name, a new Resolution is needed when any changes are made. The information list above must also be submitted with the new Resolution.
-

**FY 09 Emergency Management Performance Grant  
Assurances, Certifications, Terms, and Conditions**

**ASSURANCES**

The applicant hereby assures and certifies compliance with all applicable Federal statutes, regulations, policies, guidelines, and requirements, including OMB Circulars A-87, A-102, A-133; Executive Order 12372 (intergovernmental review of federal programs); and 44 C.F.R. pt.13 (administrative requirements for grants and cooperative agreements). The applicant also specifically assures and certifies that:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to non-discrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and 111 of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §§ 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-33.3), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

## **CERTIFICATIONS**

### **Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT):

As required by Executive Order 12549, Debarment and Suspension, and implemented at 44 CFR, Part 17:

A. The applicant certifies that it and its principals:

- (1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;
- (2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (A)(2) of this certification; and
- (4) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. CERTIFICATIONS REGARDING DRUG-FREE WORKPLACE REQUIREMENTS: This certification commits the applicant to compliance with the certification requirements under 44 CFR, Part 17 *Government-wide Requirements for Drug-Free Workplace (Grants)*.

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about—
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

#### 4. SWEATFREE CODE OF CONDUCT:

- a. All applicants contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the subgrant have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The applicant further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.
- b. The applicant agrees to cooperate fully in providing reasonable access to the applicant's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

5. DOMESTIC PARTNERS: For subgrants executed or amended after July 1, 2004, the applicant may elect to offer domestic partner benefits to the applicant's employees in accordance with Public Contract Code section 10295.3. However, the applicant cannot require an employee to cover the costs of providing any benefits which have otherwise been provided to all employees regardless of marital or domestic partner status.

## **TERMS AND CONDITIONS**

The following laws apply to persons or entities doing business with the State of California.

1. **CONFLICT OF INTEREST**: Applicant needs to be aware of the following provisions regarding current or former state employees. If subgrantee has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

*Current State Employees (Public Contract Code §10410):*

- 1) No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- 2) No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

*Former State Employees (Public Contract Code §10411):*

- 1) For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2) For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If applicant violates any provisions of above paragraphs, such action by applicant shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. **LABOR CODE/WORKERS' COMPENSATION**: Applicant needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and applicant affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)
3. **AMERICANS WITH DISABILITIES ACT**: Applicant assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)
4. **APPLICANT NAME CHANGE**: An amendment is required to change the applicant's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.



5. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.
6. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the applicant shall not be:
  - (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district;
  - (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or
  - (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and applicant may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the applicant has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective jurisdiction to the assurances and certifications listed above.

<i>Jurisdiction (Printed)</i>	
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	

**FY09 Emergency Management Performance Grant  
Performance Report**

**Jurisdiction Name:** \_\_\_\_\_

OES ID# \_\_\_\_\_ Date of report: \_\_\_\_\_ Quarter # \_\_\_\_\_ Grant # \_\_\_\_\_

ACTIVITY	TASK(S) TO BE COMPLETED	STATUS
	•	•
	•	•
	•	•
	•	•
	•	•

**Issues affecting completion or outcome:**

CalEMA use only	
Reviewed by: _____	Date: _____
Comments:	

# FY09 Emergency Management Performance Grant Reimbursement Request

Award # \_\_\_\_\_

Mail Reimbursement Request to your Regional Office:

CalEMA  
Coastal Region  
1300 Clay Street, Suite 400  
Oakland, CA 94612

CalEMA  
Inland Region  
3650 Schriever Avenue  
Mather, CA 95655

CalEMA  
Southern Region  
4671 Liberty Avenue  
Los Alamitos, CA 90720

Subgrantee: \_\_\_\_\_

OES ID #: \_\_\_\_\_

1. Which state fiscal year were activities performed? (Check only one fiscal year box per Reimbursement Request.) In addition, check the Final Reimbursement Request box if this is your final request.

☐ 10/01/08 to 6/30/09

☐ 07/01/09 to 06/30/10

☐ Final Reimbursement Request

2. Federal Funds Expended  
(A3 = A1 + A2)

Cumulative Previously Requested Amount	Current Requested Amount	Cumulative Amount to Date
A1	+	=
	A2	A3

Local Subgrant Match Expended  
(B3 = B1 + B2)

B1	+	=
	B2	B3

Total Subgrant Expenditures  
(C = A3 + B3)

C
---

3. Total Emergency Program Expenditures  
(C + Additional Local Expenditures)

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Under penalty of perjury, I certify that:

- I am the duly Authorized Agent of the claimant herein.
- This reimbursement request is in all respects true, correct, and in accordance with applicable laws, rules, regulations, subgrant conditions and assurances.
- All funds requested as a reimbursement have been matched with local funds.
- Emergency Program Expenditures may not be used for any other match.

**Authorized Agent (Per Governing Body Resolution/State Agency Signature Authority Form)**

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Phone No.

\_\_\_\_\_  
Title

\_\_\_\_\_  
E-Mail Address

\_\_\_\_\_  
Mailing Address

\_\_\_\_\_  
Fax No.

\_\_\_\_\_  
City, State, Zip Code

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

☐ Check this box if this is a **new address** for the Authorized Agent.

## Instruction Sheet for the Reimbursement Request

Award Number	The Award Number is identified on the <i>Notification of Application Approval</i> letter.
Subgrantee	The subgrantee is the agency identified in the original subgrant application and indicated in the <i>Notification of Application Approval</i> letter. Do not identify any sub-departments or offices as the subgrantee.
OES ID #	The OES ID# is identified on the <i>Notification of Application Approval</i> letter.
1. Reimbursement Request Period	Indicate the State Fiscal Year (FY) for which funds are being requested. For reimbursements, the State FY chosen should represent the State FY in which the subgrant funds have been expended. Only one State FY can be chosen per reimbursement request and cannot cross State FYs; therefore, separate requests must be submitted for expenditures incurred on or before June 30, 2009 and on or after July 1, 2009.
2. Federal Funds Expended	<p><u>Cumulative Previously Requested Amount (Box A1):</u> In this box include cumulative federal funds previously requested on all previous reimbursement requests. If this is the first reimbursement request submitted, leave this box blank.</p> <p><u>Current Requested Amount (Box A2):</u> In this box include current requested federal funds for this reimbursement request.</p> <p><u>Cumulative Amount to Date (Box A3):</u> The amount in this box (A3) should equal box A1 plus box A2.</p>
Local Subgrant Match Expended	<p><u>Cumulative Previously Requested Amount (Box B1):</u> In this box include the cumulative local subgrant match previously requested on all previous reimbursement requests (Box B1 equals Box A1). If this is the first reimbursement request submitted, leave this box blank.</p> <p><u>Current Requested Amount (Box B2):</u> In this box include the current local subgrant match expended for this reimbursement request (Box B2 equals Box A2).</p> <p><u>Cumulative Amount to Date (Box B3):</u> The amount in this box (B3) should equal box B1 plus box B2 (Box B3 equals Box A3).</p> <p>(This ensures compliance with non-federal match requirements.)</p>
Total Subgrant Expenditures	<p><u>Cumulative Amount to Date (Box C):</u> The amount in this box (C) should equal box A3 plus box B3. (This figure is used to calculate your payment in the Automated Ledger System (ALS). ALS uses the following formula to calculate your payment: Box C divided by 2 minus previous payments = this payment)</p>
3. Total Emergency Program Expenditures	In this box, indicate <u>all</u> cumulative program funds expended. This includes box C plus all additional local non-federal expenditures. Exclude any local expenses that are being used as a match requirement(s) for other federal programs.
Definition of Expenditure	For the purpose of this form, expenditure is defined as the actual payment of funds, by subgrantees, to contractors, vendors, employee labor, equipment, etc.
Authorized Agent Information	Complete all line items requested and ensure that the form is signed by an Authorized Agent named in the Governing Body Resolution, or the State Agency Signature Authority form.
Address Changes	Indicate a change of address by checking the box shown and noting the address in the area marked "mailing address". The new address will be used to update CalEMA's records.

## Instruction Sheet for the Reimbursement Request, continued

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Supporting Documents	Supporting documents are not required to be submitted with the Reimbursement Request; however, the state reserves the right to request documentation at any time. Subgrantees are reminded to maintain documents that support the expenditure and reimbursement amounts shown on the request.
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Mail	Mail the original Reimbursement Request form to your CalEMA Regional office at:
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CalEMA Coastal Region 1300 Clay Street, Suite 400 Oakland, CA 94612
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CalEMA Inland Region 3650 Schriever Avenue Mather, CA 95655
--

CalEMA Southern Region 4671 Liberty Avenue Los Alamitos, CA 90720
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# FINAL Performance Report

FY 09 EMPG Award # \_\_\_\_\_

Jurisdiction Name: \_\_\_\_\_

OES ID# \_\_\_\_\_ -00000

Date of report: \_\_\_\_\_

ACTIVITY	ACTIVITY SUMMARY
	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:
	Complete? Yes <input type="checkbox"/> No <input type="checkbox"/> Summary:

### Final Subgrant Expenditures:

(Double click on the chart below to open it as an Excel spreadsheet)

Personal Services	
Operating Expenses	
Equipment	
Management & Admin	
Pass thru to locals	
TOTAL	\$ -

---

*I am the duly appointed Authorized Agent and certify that the above activities and expenditures are true and correct.*

\_\_\_\_\_  
*Signature of Authorized Agent*

\_\_\_\_\_  
*Printed Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Date*

CalEMA use only

Reviewed by: \_\_\_\_\_  
Comments:

Date: \_\_\_\_\_

## Instruction Sheet for Final Performance Report

<b>Jurisdiction</b>	Enter the Operational Area name.			
<b>OES ID#</b>	Enter the OES ID#.			
<b>Date of Report</b>	This would be the date the report is completed.			
<b>Activity</b>	List one of the specific activities you had in your application.			
<b>Activity Summary Complete?</b>	Indicate whether or not you completed this activity. Double click on the appropriate box and a pop-up window will allow you to put an “x” in the box.			
<b>Activity Summary</b>	In the space below these boxes, describe what was done from start to finish on this activity.  Repeat for each of your activities.			
<b>Final Subgrant Expenditures</b>	Double click on this chart and it will open as an Excel spreadsheet. Enter the final figures of your program expenditures by category. The total should be equal to or less than your subgrant award (federal portion only, not your match funds,)			
<b>Certification</b>	Have the authorized agent sign the form. Please print the name, title and date as well.			
<b>Mailing Instructions</b>	Mail the original Final Performance Report to your Regional office at:  <table><tr><td>CaleMA Coastal Region 1300 Clay Street, Suite 400 Oakland, CA 94612</td><td>CaleMA Inland Region 3650 Schriever Avenue Mather, CA 95655</td><td>CaleMA Southern Region 4671 Liberty Avenue Los Alamitos, CA 90720</td></tr></table>	CaleMA Coastal Region 1300 Clay Street, Suite 400 Oakland, CA 94612	CaleMA Inland Region 3650 Schriever Avenue Mather, CA 95655	CaleMA Southern Region 4671 Liberty Avenue Los Alamitos, CA 90720
CaleMA Coastal Region 1300 Clay Street, Suite 400 Oakland, CA 94612	CaleMA Inland Region 3650 Schriever Avenue Mather, CA 95655	CaleMA Southern Region 4671 Liberty Avenue Los Alamitos, CA 90720		



## Appendix D – Sample Forms

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**Sample Forms**    The following are samples of the required forms for this Subgrant.

- Application for Assistance
  - Program Narrative
  - Budget Worksheet
  - Governing Board Resolution
  - Performance Report
  - Example: 1<sup>st</sup> Reimbursement Request
  - Example: 2<sup>nd</sup> Reimbursement Request
  - Final Performance Report
-

**FY09 Emergency Management Performance Grant  
Application for Assistance**

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**Applicant:** Narnia County  
(County)

**Contact Information:**

1234 Broadway Street  
*Authorized Agent Mailing Address*

Anytown, CA 91919  
*City, State, Zip Code*

Mary Ann Smith, Program Manager  
*Name/Title*

(530)-666-5544  
*Area Code/Office Telephone Number*

MAS@narniaoes.gov  
*E-Mail Address*

<i>Allocated Amount (from Appendix A)</i>	<u>\$ 89,111.00</u>
<i>Amount Requested per Budget Worksheet</i>	<u>\$ 89,111.00</u>

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**Application Checklist** – The following items must be included with this subgrant application package:

<u>X</u>	Application for Assistance	<u>X</u>	Governing Body Resolution
<u>X</u>	Program Narrative	<u>X</u>	Grant Assurances
<u>X</u>	Budget Worksheet		

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**Certification and Signature of Authorized Agent**

*I am the duly appointed Authorized Agent and have the authority to apply for this subgrant and submit this application on behalf of the Operational Area.*

John Adams, CAO  
*Signature of Authorized Agent*

John Adams, CAO  
*Printed Name*

CAO/Dir. of OES  
*Title*

3/27//2009  
*Date*

**For CalEMA USE ONLY**

Application Reviewed/Subgrant Award Approved: \_\_\_\_\_  
*Agency Secretary's Signature* *Date*

Subgrant Performance Period: October 1, 2008 to September 30, 2009  
OES ID # 000-00000 CFDA #97.042

Award #

## PROGRAM NARRATIVE

Overview: The county of Narnia's mission is to support comprehensive emergency management and to encourage the improvement of mitigation, preparedness, response, and recovery capabilities for all hazards. Funds provided under the EMPG will be used to support activities that contribute to Narnia's capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made.

GOAL/ OBJECTIVE	ACTIVITY	TASK(S) TO BE COMPLETED
3.9	Provide at least two SEMS/NIMS 700 courses for local partners	<ul style="list-style-type: none"><li>• Identify dates and location.</li><li>• Schedule instructors.</li></ul>
3.9	Provide ARC Shelter management training to volunteers and H.S. Staff	<ul style="list-style-type: none"><li>• Contact ARC for availability.</li><li>• Set date.</li><li>• Identify location.</li><li>• Hold training.</li><li>• Issue certificates.</li><li>• Update training database.</li></ul>
2.10	Local planning for vulnerable populations	<ul style="list-style-type: none"><li>• Continue bi-monthly meetings of local workgroup to develop a draft annex to operations plan by December 31, 2009.</li></ul>
3.9	Conduct Mass Casualty Incident Exercise	<ul style="list-style-type: none"><li>• Hold monthly planning meetings.</li><li>• Conduct exercise by end of September 2009.</li></ul>
2.22	Renovate EOC	<ul style="list-style-type: none"><li>• Determine what equipment is eligible on the AEL.</li><li>• Purchase equipment.</li></ul>

## BUDGET WORKSHEET

(Federal Funds Only)

Double click on the chart below to open it as an Excel spreadsheet

Personal Services	\$ 80,000.00
Operating Expenses	\$ 5,000.00
Equipment	\$ 4,111.00
Management and Admin.	\$ -
Pass thru to locals	\$ -
TOTAL	\$ 89,111.00

BE IT RESOLVED BY THE \_\_\_\_\_ Board of Supervisors  
(Governing Body)

County Fire Warden/ Deputy Director of Emergency Services  
(Name or Title of Authorized Agent)

**FY09 Emergency Management Performance Grant  
Performance Report**

Jurisdiction: **Narnia County**

OES ID# 123-00000    Date of report: 10/05/09    Quarter # 4    Grant # \_\_\_\_\_

ACTIVITY	TASK(S) TO BE COMPLETED	STATUS
Provide at least two SEMS/NIMS 700 courses for local partners	<ul style="list-style-type: none"> <li>• Provide at least two SEMS/NIMS 700 courses for local partners Identify dates and location.</li> <li>• Schedule instructors.</li> </ul>	<ul style="list-style-type: none"> <li>• Training continues for local partners.</li> <li>• ICS/SEMS/NIMS courses have been provided to local partners on 2/15-16/09 and 2/21-22/09.</li> </ul>
Provide ARC Shelter management training to volunteers and H.S. Staff	<ul style="list-style-type: none"> <li>• Contact ARC for availability.</li> <li>• Set date.</li> <li>• Identify location.</li> <li>• Hold training.</li> <li>• Issue certificates.</li> <li>• Update training database.</li> </ul>	<ul style="list-style-type: none"> <li>• Training continues for local partners. ARC Shelter management classes have trained 150 locals.</li> </ul>
Local planning for vulnerable populations	<ul style="list-style-type: none"> <li>• Continue bi-monthly meetings of local workgroup to develop a draft annex to operations plan by December 31, 2009.</li> </ul>	<ul style="list-style-type: none"> <li>• Local planning continues with P.H., Co. Fire, S.O., CERT Leaders, County Wide Neighborhood Watch, and local Home Health Agencies. Progress is slow, but we are working through all the perceived legal issues.</li> </ul>
Conduct Mass Casualty Incident Exercise	<ul style="list-style-type: none"> <li>• Hold monthly planning meetings.</li> <li>• Conduct exercise by end of September 2009.</li> </ul>	<ul style="list-style-type: none"> <li>• Monthly Planning meeting continue to be held.</li> <li>• Mass Casualty Incident Exercise conducted.</li> </ul>
Renovate EOC	<ul style="list-style-type: none"> <li>• Determine what equipment is eligible on the AEL.</li> <li>• Purchase equipment.</li> </ul>	<ul style="list-style-type: none"> <li>• Equipment has been identified and the purchase process has begun.</li> </ul>

**Issues affecting completion or outcome:** Only issue at this time will be Fire Season Starts and/or deployments. All other items on schedule.

CalEMA use only

Reviewed by: \_\_\_\_\_  
Comments:

Date: \_\_\_\_\_

# FY09 Emergency Management Performance Grant

Example: 1<sup>st</sup> Request

## Reimbursement Request

Award # 2009-GR-XXXX

Mail Reimbursement Request to your Regional Office:

Subgrantee: Narnia  
OES ID #: 000-00000

CalEMA  
Coastal Region  
1300 Clay Street, Suite 400  
Oakland, CA 94612

CalEMA  
Inland Region  
3650 Schriever Avenue  
Mather, CA 95655

CalEMA  
Southern Region  
4671 Liberty Avenue  
Los Alamitos, CA 90720

1. Which state fiscal year were activities performed? (Check only one fiscal year box per Reimbursement Request.) In addition, check the Final Reimbursement Request box if this is your final request.

☒ 10/01/09 to 6/30/09 ☐ 07/01/09 to 06/30/10 ☐ Final Reimbursement Request

2. Federal Funds Expended  
(A3 = A1 + A2)

Cumulative Previously Requested Amount	Current Requested Amount	Cumulative Amount to Date
A1 \$0.00	A2 \$22,278	A3 \$22,278

- Local Subgrant Match Expended  
(B3 = B1 + B2)

B1 \$0.00	B2 \$22,278	B3 \$22,278
--------------	----------------	----------------

- Total Subgrant Expenditures  
(C = A3 + B3)

C \$44,556
---------------

3. Total Emergency Program Expenditures  
[C + Additional Local Expenditures (if applicable)]

\$48,556
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Under penalty of perjury, I certify that:

- I am the duly Authorized Agent of the claimant herein.
- This reimbursement request is in all respects true, correct, and in accordance with applicable laws, rules, regulations, subgrant conditions and assurances.
- All funds requested as a reimbursement have been matched with local funds.
- Emergency Program Expenditures may not be used for any other match.

### Authorized Agent (Per Governing Body Resolution/State Agency Signature Authority Form)

John Adams  
Printed Name

(000) 000-00000  
Phone No.

CAO/Director of OES  
Title

ja@narniaoes.gov  
E-Mail Address

1234 Broadway Street  
Mailing Address

(000) 000-0000  
Fax No.

Anytown, CA 91191  
City, State, Zip Code

John Adams  
Signature

7/10/09  
Date

☐ Check this box if this is a new address for the Authorized Agent.

# FY09 Emergency Management Performance Grant

## Reimbursement Request

Award # 2009-GR-XXX

Example: 2<sup>nd</sup> Request

Mail Reimbursement Request to your Regional Office: Subgrantee: Narnia  
OES ID #: 000-00000

CalEMA  
Coastal Region  
1300 Clay Street, Suite 400  
Oakland, CA 94612

CalEMA  
Inland Region  
3650 Schriever Avenue  
Mather, CA 95655

CalEMA  
Southern Region  
4671 Liberty Avenue  
Los Alamitos, CA 90720

1. Which state fiscal year were activities performed? (Check only one fiscal year box per Reimbursement Request.) In addition, check the Final Reimbursement Request box if this is your final request.

☐ 10/01/08 to 6/30/09 ☒ 07/01/09 to 06/30/10 ☐ Final Reimbursement Request

	Cumulative Previously Requested Amount	Current Requested Amount	Cumulative Amount to Date
2. Federal Funds Expended (A3 = A1 + A2)	A1 \$22,278	A2 \$30,000	A3 \$52,278
Local Subgrant Match Expended (B3 = B1 + B2)	B1 \$22,278	B2 \$30,000	B3 \$52,278
Total Subgrant Expenditures (C = A3 + B3)			C \$104,556
3. Total Emergency Program Expenditures [C + Additional Local Expenditures (if applicable)]			\$108,556

Under penalty of perjury, I certify that:

- I am the duly Authorized Agent of the claimant herein.
- This reimbursement request is in all respects true, correct, and in accordance with applicable laws, rules, regulations, subgrant conditions and assurances.
- All funds requested as a reimbursement have been matched with local funds.
- Emergency Program Expenditures may not be used for any other match.

### Authorized Agent (Per Governing Body Resolution/State Agency Signature Authority Form)

<u>John Adams</u> Printed Name	<u>(000) 000-00000</u> Phone No.
<u>CAO/Director of OES</u> Title	<u>ja@narniaoes.gov</u> E-Mail Address
<u>1234 Broadway Street</u> Mailing Address	<u>(000) 000-0000</u> Fax No.
<u>Anytown, CA 91191</u> City, State, Zip Code	
<u>John Adams</u> Signature	<u>9/15/09</u> Date

☐ Check this box if this is a new address for the Authorized Agent.



# FINAL Performance Report

FY 09 EMPG Award # \_\_\_\_\_

Jurisdiction: Narnia

OES ID# 000-00000 \_\_\_\_\_

Date of report: 10/15/09 \_\_\_\_\_

ACTIVITY	STATUS
Provide two SEMS/NIMS 700 courses for local partners	Complete? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Summary: <ul style="list-style-type: none"><li>Two SEMS/NIMS 700 training sessions were held as follows:</li><li>September 20, 2009 – 225 city and county participants</li><li>March 15, 2009 – 80 city and county participants</li></ul>
Provide ARC Shelter management training to volunteers and H.S. Staff.	Complete? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Summary: <ul style="list-style-type: none"><li>The local chapter of the ARC provided shelter management training to 20 volunteer and health services personnel on April 30, 2009.</li></ul>
Local planning for vulnerable populations	Complete? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Summary: <ul style="list-style-type: none"><li>The vulnerable population work group held by-monthly meetings and provided input into the planning process to help us meet some of the needs of our vulnerable population.</li></ul>
Conduct Mass Casualty Incident Exercise	Complete? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Summary: <ul style="list-style-type: none"><li>A major planning effort was undertaken which eventually resulted in a countywide multi-casualty incident exercise. Over 200 staff and volunteers participated, making the event very successful. Our after action report has been completed and submitted.</li></ul>
Complete? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Renovate EOC	<ul style="list-style-type: none"><li>All equipment has been purchased and installed.</li></ul>

(Double click on the chart below to open it as an Excel spreadsheet)

Personal Services	\$ 75,216.00
Operating Expenses	\$ 8,425.00
Equipment	\$ 5,470.00
Management and Admin.	\$ -
Pass thru to locals	\$ -
TOTAL	\$ 89,111.00

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*I am the duly appointed Authorized Agent and certify that the above activities and expenditures are true and correct.*

John Adams  
\_\_\_\_\_  
*Signature of Authorized Agent*

John Adams  
\_\_\_\_\_  
*Printed Name*

CAO/Director of OES  
\_\_\_\_\_  
*Title*

6/30/10  
\_\_\_\_\_  
*Date*

SAMPLE

CalEMA use only	
Reviewed by: _____	Date: _____
Comments:	

## Appendix E – Acronyms

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A & W	Alert and Warning
AAR	After Action Report
ARC	American Red Cross
ARP	Accidental Risk Prevention
BSA	California Bureau of State Audits
CAER	Community Awareness & Emergency Response
CalARP	California Accidental Release Prevention
CalEMA	California Emergency Management Agency
CalEPA	California Environmental Protection Agency
CAR	Capability Assessment for Readiness
CBO	Community based organization
CBRN	Chemical, Biological, Radiological, or Nuclear materials
CDF	California Department of Forestry and Fire Protection
CDMG	California Division of Mines and Geology
CEC	California Energy Commission or California Emergency Council
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CERT	Community Emergency Response Team
CEPEC	California Earthquake Prediction Evaluation Council
CESRS	California Emergency Services Radio System
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CHIP	California Hazard Identification Program
CHMIRS	California Hazardous Material Incident Reporting System
CHP	California Highway Patrol
CLETS	California Law Enforcement Telecommunications System
COG	Continuity of Government
COOP	Continuity of Operations
CSTI	California Specialized Training Institute
CUPA	Certified Unified Program Agency
DFO	Disaster Field Office
DGS	California Department of General Services
DHS	U.S. Department of Homeland Security
DHS-RHB	California Department of Health Services, Radiological Health Branch
DOC	Department Operations Center
DOE	Department of Energy (U.S.)
DOF	California Department of Finance
DOJ	California Department of Justice
DSR	Disaster Survey Report
DSW	Disaster Service Worker
DWR	California Department of Water Resources
EAS	Emergency Alerting System
EDIS	Emergency Digital Information System
EERI	Earthquake Engineering Research Institute
EMA	Emergency Management Assistance
EMAP	Emergency Management Accreditation Program
EMF	Emergency Management Function
EMI	Emergency Management Institute
EMMA	Emergency Managers Mutual Aid
EMPG	Emergency Management Performance Grant
EMS	Emergency Medical Services
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
EPA	Environmental Protection Agency (U.S.)
EPEDAT	Early Post Earthquake Damage Assessment Tool
EPI	Emergency Public Information
EPIC	Emergency Public Information Council
EP&R	Emergency Preparedness and Response (DHS Directorate)

## Appendix E – Acronyms, continued

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ESF	Emergency Service Functions (Federal)
FEMA	Federal Emergency Management Agency
FIR	Final Inspection Reports
FIREScope	Fire Fighting Resources of Southern California Organized for Potential Emergency
FMA	Flood Management Assistance
FSR	Feasibility Study Report
FY	Fiscal Year
GIS	Geographical Information System
HAZMAT	Hazardous Material
HAZMIT	Hazardous Mitigation
HAZUS	Hazards-United States (an earthquake damage assessment prediction tool)
HCD	Housing and Community Development
HEICS	Hospital Emergency Incident Command System
HEPG	Hospital Emergency Planning Guidance
HMEP	Hazardous Materials Emergency Preparedness
HMGP	Hazard Mitigation Grant Program
IDE	Initial Damage Estimate
IA	Individual Assistance
IFGP	Individual & Family Grant Program
IPA	Information and Public Affairs (of CalEMA)
IRG	Incident Response Geographic Information System
LEMA	Law Enforcement Mutual Aid
LEPC	Local Emergency Planning Committee
M&A	Management and Administrative
MARAC	Mutual Aid Regional Advisory Council
MOU	Memorandum of Understanding
NBC	Nuclear, Biological, Chemical
NEMA	National Emergency Management Agency
NEMIS	National Emergency Management Information System
NFIP	National Flood Insurance Program
NIMCAST	National Incident Management Capability Assessment Tool
NIMS	National Incident Management System
NOAA	National Oceanic and Atmospheric Association
NPP	Nuclear Power Plant
NSF	National Science Foundation
NWS	National Weather Service
OA	Operational Area
OASIS	Operational Area Satellite Information System
OCC	Operations Coordination Center
OSHPD	Occupational Safety and Health Protection Division
OSPR	Oil Spill Prevention and Response
PA	Public Assistance
PDA	Preliminary Damage Assessment
POST	Police Officer Standards and Training
PSA	Public Service Announcement
RAMP	Regional Assessment of Mitigation Priorities
RAPID	Railroad Accident Prevention & Immediate Deployment
RDO	Radiological Defense Officer
RDMHC	Regional Disaster Medical Health Coordinator
REOC	Regional Emergency Operations Center
REPI	Reserve Emergency Public Information
RES	Regional Emergency Staff
RIMS	Response Information Management System
RMP	Risk Management Plan

## Appendix E – Acronyms, continued

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RRT	Regional Response Team
SARA	Superfund Amendments & Reauthorization Act
SAP	Safety Assessment Program
SBA	Small Business Administration
SEMS	Standardized Emergency Management System
SEPIC	State Emergency Public Information Committee
SLA	State and Local Assistance
SONGS	San Onofre Nuclear Generating Station
SOP	Standard Operating Procedure
SWEPC	Statewide Emergency Planning Committee
TRU	Transuranic
UPA	Unified Program Account
USAR	Urban Search and Rescue
USGS	United States Geological Survey
WC	California State Warning Center
WIPP	Waste Isolation Pilot Project
WMD	Weapons of Mass Destruction

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